

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2019

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) D'AGOSTINO, MAE A.	2. Court or Organization US District Court for the Northern District of New York	3. Date of Report 04/28/2020
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) US District Court Judge - Active	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2019 to 12/31/2019
7. Chambers or Office Address US District Court James T. Foley US Courthouse 445 Broadway Albany, NY 12207		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	Albany Law School
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions)

☒ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1.	
2.	
3.	

FINANCIAL DISCLOSURE REPORT

Page 2 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions)*

A. Filer's Non-Investment Income

☐

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2019	ALbany Law School	\$3,200.00
2.		
3.		
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.*

(Dollar amount not required except for honoraria.)

☒

NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1.	
2.	
3.	
4.	

IV. REIMBURSEMENTS -- *transportation, lodging, food, entertainment.*

(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)

☒

NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1.				
2.				
3.				
4.				
5.				

Name of Person Reporting	Date of Report
D'AGOSTINO, MAE A.	04/28/2020

V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
1. Key Bank Account	A	Interest	L	T					
2. Trustco Bank - checking accocunt	A	Interest	K	T					
3. Trustco Bank - money market	A	Interest	J	T					
4. TD Ameritrade Brokerage Account (H)									
5. ISHARES TRUST MSCI ACWI ETF	A	Dividend	J	T	Buy	10/21/19	J		
6. AMERICAN FUNDS EUROPACIFIC	A	Dividend			Sold	04/02/19	J		
7. ARTISAN INTL VAL FD	A	Dividend			Sold	04/02/19	J		
8. ARTISAN MID CAP VALUE FD	A	Dividend			Sold	04/02/19	J		
9. FIDELITY ADVISOR STRATEGIC INCOME RETAIL	A	Dividend			Sold	04/02/19	J		
10. ARTISAN MID CAP VALUE FD FIDELITY ADVISOR STRATEGIC INCOME RETAIL	A	Dividend			Sold	04/02/19	J		
11. FIDELITY CAP & INCOME FD	A	Dividend			Sold	04/02/19	J		
12. FIDELITY CONTRA FUND	A	Dividend			Sold	04/02/19	J		
13. FIDELITY ADVISOR FLOATING RT	A	Dividend			Sold	04/02/19	J		
14. FIDELITY LOW PRICED STOCK	A	Dividend			Sold	04/02/19	J		
15. FIDELITY CONTRA FUND	A	Dividend			Sold	04/02/19	J		
16. FIDELITY REAL ESTATE INC FD	A	Dividend			Sold	03/12/19	J		

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

FINANCIAL DISCLOSURE REPORT

Page 5 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
17. FIDELITY REAL ESTATE INC FD	A	Dividend			Sold	04/02/19	J		
18. FIDELITY STRAT DIV & INC FD	A	Dividend			Sold	04/02/19	J		
19. FIDELITY EXTENDED MRKT INDEX RETAIL	A	Dividend			Sold	04/02/19	J		
20. FIDELITY MID CAP INDEX RETAIL	A	Dividend			Sold	04/02/19	J		
21. FIDELITY MEDICAL EQUIP & SYS PORT	A	Dividend			Sold	04/02/19	J		
22. FIDELITY TECH PORTFOLIO	A	Dividend			Sold	04/02/19	J		
23. FIDELITY TOTAL BOND FUND	A	Dividend			Sold	04/02/19	J		
24. FIDELITY ADV TELECOMM I	A	Dividend			Sold	04/02/19	J		
25. FIDELITY 500 INDEX RETAIL	A	Dividend			Sold	04/02/19	K		
26. JP MORGAN ETF TRUST ULTRA SHRT	A	Dividend			Buy	04/02/19	J		
27. JP MORGAN ETF TRUST ULTRA SHRT	A	Dividend			Buy	10/21/19	J		
28. JP MORGAN ETF TRUST ULTRA SHRT	A	Dividend	J	T	Buy	11/15/19	J		
29. MATTHEWS INTL FDS ASIA DIVIDEND FD	A	Dividend			Sold	04/02/19	J		
30. MFS VALUE I	A	Dividend			Sold	04/02/19	J		
31. OPPENHEIMER INTL SMALL CO	A	Dividend			Sold	04/02/19	J		
32. PIMCO INTERNATIONAL BD USD HEDGED A	A	Dividend			Sold	04/02/19	J		
33. JP MORGAN TR II CORE BOND A	A	Dividend	K	T	Buy	04/02/19	J		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 6 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
34. PIN OAK	A	Dividend	J	T	Buy	04/02/19	J		
35. JPMORGAN FUNDS CORE BOND A	A	Dividend			Sold	10/21/19	J		
36. PIN OAK	A	Dividend			Sold	10/21/19	J		
37. SPDR SERIES TRUST PORTFOLIO LR ETF	A	Dividend	J	T	Buy	10/21/19	J		
38.									
39. TD Ameritrade IRA (H)									
40. ISHARES TRUST MSCI ACWI ETF	A	Dividend			Buy	10/10/19	M		
41. ISHARES TRUST MSCI ACWI ETF	A	Dividend			Buy	10/24/19	L		
42. ISHARES TRUST MSCI ACWI ETF	A	Dividend	M	T	Buy	10/31/19	J		
43. AMERICAN FUNDS EUROPACIFIC GROWTH	A	Dividend			Sold	04/02/19	L		
44. ISHARES TRUST AGENCY BOND ETF	A	Dividend	L	T	Buy	10/10/19	M		
45. ISHARES TRUST AGENCY BOND ETF	A	Dividend			Sold (part)	10/24/19	L		
46. ARTISAN INTL VAL FD	A	Dividend			Sold	04/02/19	L		
47. AMERICAN BEACON BRIDGEWAY LARGE CAP VALUE	A	Dividend			Sold	04/02/19	L		
48. WISDOMTREE TRUST US MIDCAP DIVID ETF	A	Dividend			Buy	04/02/19	J		
49. WISDOMTREE TRUST US MIDCAP DIVID ETF	A	Dividend			Buy	04/02/19	M		
50. WISDOMTREE TRUST US MIDCAP DIVID ETF	A	Dividend			Sold	10/10/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 7 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
51. WISDOMTREE TRUST US MIDCAP DIVID ETF	A	Dividend			Sold	10/10/19	L		
52. FIDELITY ADVISOR STRATEGIC INCOME RETAIL	A	Dividend			Sold	04/02/19	M		
53. FIDELITY CAP & INCOME FD	A	Dividend			Sold	04/02/19	L		
54. FIDELITY CONTRAFUND	A	Int./Div.			Sold	04/02/19	L		
55. FIDELITY CONSERVATIVE BOND	A	Dividend			Sold	04/02/19	L		
56. FIDELITY ADVISOR FLOATING RT HI INC FD	A	Dividend			Sold	04/02/19	M		
57. ISHARES TRUST FLTG RATE NT ETF	A	Dividend			Buy	04/02/19	M		
58. ISHARES TRUST FLTG RATE NT ETF	A	Dividend			Sold	10/24/19	M		
59. ISHARES TRUST FLTG RATE NT ETF	A	Dividend			Sold	10/10/19	L		
60. FIDELITY REAL ESTATE INC FD	A	Dividend			Sold	04/02/19	M		
61. FIDELITY EXTENDED MRKT INDEX RETAIL	A	Dividend			Sold	04/02/19	M		
62. FIDELITY MID CAP INDEX RETAIL	A	Dividend			Sold	04/02/19	K		
63. FIDELITY HEALTH CARE	A	Dividend			Sold	04/02/19	K		
64. FIDELITY ADV TELECOMM	A	Dividend			Sold	04/02/19	K		
65. FIDELITY 500 INDEX RETAIL	A	Dividend			Sold	04/02/19	K		
66. ISHARES TRUST US TREAS BD ETF	A	Dividend	N	T	Buy	10/10/19	N		
67. ISHARES GOLD TRUST ISHARES ETF	A	Dividend			Buy	04/02/19	M		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 8 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
68. ISHARES GOLD TRUST ISHARES ETF	A	Dividend			Sold	05/06/19	L		
69. ISHARES GOLD TRUST ISHARES ETF	A	Dividend			Sold	11/15/19	J		
70. ISHARES GOLD TRUST ISHARES ETF	A	Dividend			Buy	10/24/19	K		
71. JANUS HENDERSON GLOBAL TECHNOLOGY	A	Dividend			Sold	04/02/19	M		
72. JP MORGAN ETF TRUST CORE PLUS BD ETF	A	Dividend	J	T	Buy	10/10/19	K		
73. JP MORGAN ETF TRUST ULTRA SHRT INC ETF	A	Dividend			Buy	04/02/19	N		
74. JP MORGAN ETF TRUST ULTRA SHRT INC ETF	A	Dividend	M	T	Buy	06/17/19	L		
75. JP MORGAN ETF TRUST ULTRA SHRT INC ETF	A	Dividend			Sold (part)	10/10/19	M		
76. SPDR SERIES TRUST SSGA US LRG ETF	A	Dividend			Buy	10/10/19	L		
77. SPDR SERIES TRUST SSGA US LRG ETF	A	Dividend			Sold	11/15/19	K		
78. MFS VALUE I	A	Dividend			Sold	04/02/19	M		
79. OPPENHEIMER INTL SMALL CO CL A	A	Dividend			Sold	04/02/19	L		
80. PARNASSUS MID CAP FUND	A	Dividend			Sold	04/02/19	L		
81. PIMCO INTERNATIONAL BD USD HEDGED A	A	Dividend			Sold	04/02/19	L		
82. JP MORGAN TR II CORE BOND A	A	Dividend			Sold	04/02/19	N		
83. JP MORGAN TR II CORE BOND A	A	Dividend	J	T	Sold (part)	10/10/19	K		
84. OAK ASSOCIATES PIN OAK EQUITY	A	Dividend	J	T	Buy	04/02/19	L		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 9 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)



NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e g , div , rent, or int)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e g , buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
85. ISHARES GOLD TRUST ISHARES ETF	A	Dividend			Sold	10/10/19	L		
86. FEDERATED FTD PRM CSH OBLGTNS	A	Dividend			Sold	10/10/19	L		
87. FEDERATED FTD PRM CSH OBLGTNS	A	Dividend			Buy	04/02/19	K		
88. ISHARES TRUST USA QUALITY FCTR ETF	A	Dividend			Buy	10/10/19	K		
89. ISHARES TRUST USA QUALITY FCTR ETF	A	Dividend	M	T	Buy	10/24/19	M		
90. SPDR SERIES TRUST SSGA US SMAL ETF	A	Dividend			Buy	10/10/19	K		
91. SPDR SERIES TRUST SSGA US SMAL ETF	A	Dividend			Sold	11/15/19	K		
92. SPDR INDEX SHARES FUNDS PORTFOLIO EMG MK ETF	A	Dividend	K	T	Buy	11/15/19	K		
93. SPDR SERIES TRUST PORTFOLIO INTRMD ETF	A	Dividend			Buy	10/10/19	M		
94. SPDR SERIES TRUST PORTFOLIO INTRMD ETF	A	Dividend	M	T	Sold (part)	10/24/19	L		
95. SPDR SERIES TRUST PORTFOLIO LR ETF	A	Dividend			Buy	10/10/19	L		
96. SPDR SERIES TRUST PORTFOLIO LR ETF	A	Dividend			Sold	10/24/19	K		
97. SPDR SERIES TRUST PRTFLO S&P500 HI ETF	A	Dividend	K	T	Buy	04/02/19	L		
98. SPDR SERIES TRUST PRTFLO S&P500 HI ETF	A	Dividend			Sold (part)	10/10/19	M		
99. ISHARES TRUST BROAD USD HIGH ETF	A	Dividend			Buy	10/10/19	K		
100. ISHARES TRUST BROAD USD HIGH ETF	A	Dividend	K	T	Sold (part)	10/24/19	J		
101. SPDR SERIES TRUST NYSE TECH ETF	A	Dividend	K	T	Buy	10/24/19	K		

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
102. INVESCO EXCHANGE TRADED FUND T S&P SMLCP LOW ETF	A	Dividend			Buy	04/02/19	M		
103. INVESCO EXCHANGE TRADED FUND T S&P SMLCP LOW ETF	A	Dividend			Sold	10/10/19	M		
104.									
105.									
106.									
107.									
108.									
109.									
110.									
111.									
112.									
113.									
114.									
115.									
116.									
117.									
118.									

1 Income Gain Codes:

(See Columns B1 and D4)

2 Value Codes

(See Columns C1 and D3)

3 Value Method Codes

(See Column C2)

A =\$1,000 or less

F =\$50,001 - \$100,000

J =\$15,000 or less

N =\$250,001 - \$500,000

P3 =\$25,000,001 - \$50,000,000

Q =Appraisal

U =Book Value

B =\$1,001 - \$2,500

G =\$100,001 - \$1,000,000

K =\$15,001 - \$50,000

O =\$500,001 - \$1,000,000

R =Cost (Real Estate Only)

V =Other

C =\$2,501 - \$5,000

H1 =\$1,000,001 - \$5,000,000

L =\$50,001 - \$100,000

P1 =\$1,000,001 - \$5,000,000

P4 =More than \$50,000,000

S =Assessment

W =Estimated

D =\$5,001 - \$15,000

H2 =More than \$5,000,000

M =\$100,001 - \$250,000

P2 =\$5,000,001 - \$25,000,000

T =Cash Market

E =\$15,001 - \$50,000

VII. INVESTMENTS and TRUSTS -- income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐

NONE (No reportable income, assets, or transactions.)

A Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B Income during reporting period		C Gross value at end of reporting period		D Transactions during reporting period				
	(1)	(2)	(1)	(2)	(1)	(2)	(3)	(4)	(5)
	Amount Code 1 (A-H)	Type (e g , div , rent, or int)	Value Code 2 (J-P)	Value Method Code 3 (Q-W)	Type (e g , buy, sell, redemption)	Date mm/dd/yy	Value Code 2 (J-P)	Gain Code 1 (A-H)	Identity of buyer/seller (if private transaction)
119.									

1 Income Gain Codes: (See Columns B1 and D4)	A =\$1,000 or less F =\$50,001 - \$100,000	B =\$1,001 - \$2,500 G =\$100,001 - \$1,000,000	C =\$2,501 - \$5,000 H1 =\$1,000,001 - \$5,000,000	D =\$5,001 - \$15,000 H2 =More than \$5,000,000	E =\$15,001 - \$50,000
2 Value Codes (See Columns C1 and D3)	J =\$15,000 or less N =\$250,001 - \$500,000 P3 =\$25,000,001 - \$50,000,000	K =\$15,001 - \$50,000 O =\$500,001 - \$1,000,000	L =\$50,001 - \$100,000 P1 =\$1,000,001 - \$5,000,000 P4 =More than \$50,000,000	M =\$100,001 - \$250,000 P2 =\$5,000,001 - \$25,000,000	
3 Value Method Codes (See Column C2)	Q =Appraisal U =Book Value	R =Cost (Real Estate Only) V =Other	S =Assessment W =Estimated	T =Cash Market	

FINANCIAL DISCLOSURE REPORT

Page 12 of 13

Name of Person Reporting	Date of Report
D'AGOSTINO, MAE A.	04/28/2020

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

FINANCIAL DISCLOSURE REPORT

Page 13 of 13

Name of Person Reporting

D'AGOSTINO, MAE A.

Date of Report

04/28/2020

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ MAE A. D'AGOSTINO

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
Suite 2-301
One Columbus Circle, N.E.
Washington, D.C. 20544